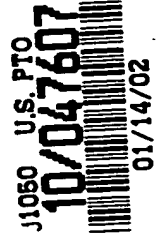


Applicants : Andrew C. Gilbert, Andrew Stergiopoulos
and William P. Tselepis

For : SYSTEMS AND METHODS FOR ELECTRONIC
TRADING THAT PERMIT PRINCIPAL/
BROKER TRADING

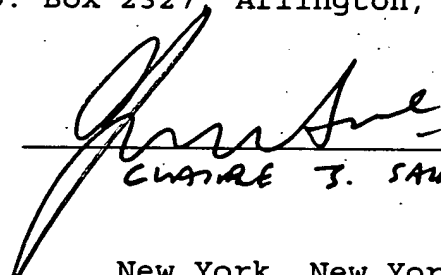


EXPRESS MAIL CERTIFICATION

"Express Mail" mailing label number EL889411032US.

Date of Deposit January 14, 2002

I hereby certify that this transmittal letter and the other papers and fees identified in this transmittal letter as being transmitted herewith are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and are addressed to the Honorable Commissioner for Patents, P.O. Box 2327, Arlington, VA 22202.



A handwritten signature in dark ink, appearing to read "Charles J. Samuel", is written over a horizontal line.

CHARLES J. SAMUEL

BOX PATENT APPLICATION
Hon. Commissioner
for Patents
Washington, D.C. 20231

New York, New York
January 14, 2002

TRANSMITTAL LETTER FOR
ORIGINAL PATENT APPLICATION

Sir:

Transmitted herewith for filing are the
[X] specification; [X] claims; [X] abstract; [X] unexecuted
declaration and power of attorney; [X] non-publication
request; for the above-identified patent application.

Also transmitted herewith are:

[X] 9 sheets of:

[] Formal drawings.

[X] Informal drawings. Formal drawings will be filed
during the pendency of this application.

☐ Certified copy(ies) of application(s)

(country)	(appln. no.)	(filed)
-----------	--------------	---------

(country)	(appln. no.)	(filed)
-----------	--------------	---------

(country)	(appln. no.)	(filed)
-----------	--------------	---------

from which priority is claimed.

☐ An assignment of the invention to _____.

☐ A check in the amount of \$40.00 to cover the recording fee.

☐ Please charge \$40.00 to Deposit Account No. 06-1075 in payment of the recording fee. A duplicate copy of this transmittal letter is transmitted herewith.

☐ An associate power of attorney.

The filing fee has been calculated as shown below:

FOR	NUMBER FILED	NUMBER EXTRA	RATE	FEE
BASIC FEE				\$ 740.00
TOTAL CLAIMS	16	- 20 = 0	X \$ 18 =	\$ 0.00
INDEPENDENT CLAIMS	8	- 3 = 5	X \$ 84 =	\$ 420.00
<input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS			+ \$280 =	\$ 0.00
TOTAL				<u>\$1,160.00</u>

☒ A check in the amount of \$1,160.00 in payment of the filing fee is transmitted herewith.

[] This application is being filed unaccompanied by a filing fee. The appropriate filing fee will be paid in response to a Notice to File Missing Parts, pursuant to 37 C.F.R. § 1.53(f).

[X] The Director is hereby authorized to charge payment of any additional filing fees required under 37 C.F.R. § 1.16, in connection with the paper(s) transmitted herewith, or credit any overpayment of same, to deposit Account No. 06-1075. A duplicate copy of this transmittal letter is transmitted herewith.

[] Please charge \$_____ to Deposit Account No. 06-1075 in payment of the filing fee.

A duplicate copy of this transmittal letter is transmitted herewith.



Sheila F. McShane
Registration No. 44,928
Attorney for Applicants

FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000